

SUBSTITUTE FORM PTO-1390  
COMMERCE PATENT AND TRADEMARK OFFICE  
(REV 01-99)  
TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. DEPARTMENT OF

ATTORNEY'S DOCKET NUMBER  
1365.049US1

U.S. APPLICATION NO. (If known, see  
37 CFR 1.5)  
UNKNOWN

10/530369

INTERNATIONAL APPLICATION  
NO. PCT/GB01/03174

INTERNATIONAL FILING DATE  
July 13, 2001

PRIORITY DATE CLAIMED  
July 5, 2001

TITLE OF INVENTION :  
TRANSACTION PROCESSING SYSTEM AND METHOD

APPLICANT(S) FOR DO/EO/US :  
Felix Grovit

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. has been transmitted by the International Bureau.
  - c. is not required, as the application was filed in the United States Receiving Office (RO/US).
6. A translation of the International Application in to English (35 U.S.C. 371(c)(2)).
7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. have been transmitted by the International Bureau.
  - c. have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An Unsigned oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) - (3 pgs.)
10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. An Information Disclosure Statement under 37 CFR 1.97 and 1.98 (2 pgs.), with Form 1449 (1pg.).
12. An assignment document for recording (3 pgs.). A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included (1 pg.).
13. A substitute specification (\_\_\_ pgs), with \_\_\_ sheets of original drawings.
14. ☒ Preliminary Amendment (17 pgs.).
15. ☒ Other items or information:
  - Copy of International Application No.: PCT/GB01/03174 (28 (pgs.)
  - 10 Sheets of Drawings
  - PCT Request (4 pgs.).
  - PCT Demand (3 pgs.).
  - PCT Fee Calculation Sheet (1 pg.).
  - PCT Notification of Transmittal of International Preliminary Examination Report (1 pg.).
  - PCT International Preliminary Examination Report (2 pgs.).
  - PCT Declaration of Non-Establishment of International Search Report (2 pgs.).
  - Affidavit of John D. Collins (2 pgs.).
  - Exhibit 1 (2 pgs.).
  - Exhibit 2 (2 pgs.).
  - Memorandum Regarding Inventorship (1 pg.).
  - Petition to Revive (1 pg.).

10/530369

JC13 Rec'd PCT/PTO 05 APR 2005

U.S. APPLICATION (If known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. PCT/GB01/03174		ATTORNEY'S DOCKET NUMBER 1365.049US1	
---	--	---	--	---	--

17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1,080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT</b></div>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <u>  </u> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	40 - 20 =	20	X \$50.00	\$ 1,000.00	
Independent claims	9 - 3 =	6	X \$200.00	\$ 1,200.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS</b>				\$ 3,250.00	
Reduction of ½ for filing by small entity, if applicable.				\$	
<b>SUBTOTAL</b>				\$ 3,250.00	
Processing fee of \$130.00 for furnishing the English translation later than <u>  </u> 20 <u>  </u> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE</b>				\$3,250.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.				\$	
<b>TOTAL FEES</b>				\$ 3,250.00	
				Amount to be:	
				refunded	\$
				charged	\$

- a. Please charge Deposit Account No. 19-0743 in the amount of \$   to cover the above fee for the Assignment Recordation.
- b. ☒ A check in the amount of \$3,250.00 to cover the above fee for the filing fee. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0743. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
 P.O.Box 2938  
 Minneapolis, MN 55402

SIGNATURE

Timothy B. Clise  
 NAME

40,957  
 REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Felix Grovit

Title: TRANSACTION PROCESSING SYSTEM AND METHOD

Attorney Docket No.: 1365.049US1

Customer No.: 21186

PATENT APPLICATION TRANSMITTAL

MS PCT

Commissioner for Patents

P.O. Box 1450

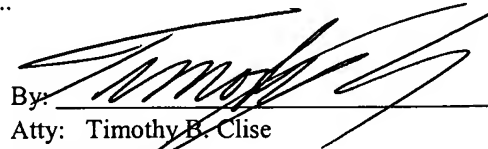
Alexandria, VA 22313-1450

We are transmitting herewith the following attached items and information (as indicated with an "X"):

- ☒ Return postcard.
- ☒ A Transmittal Letter to the DO/EO/US (and duplicate copy thereof) concerning a *PCT - U.S. National Stage filing under 35 U.S.C. 371*.
- ☒ Copy of: International Application PCT/GB01/03174 as published (WO 03/005255 A2 (28 pgs, including 70 claims and 10 sheets of Formal Drawings)
- ☒ Unsigned Combined Declaration and Power of Attorney (3 pgs).
- ☒ Incorporation by Reference: *The entire disclosures of the prior application, Provisional Application Serial No.: 60/303,263, filed July 5, 2001, and PCT/GB01/03174, filed July 13, 2001 and published as WO 03/005255 A2 on January 16, 2003, are considered as being part of the disclosure of the accompanying application and are hereby incorporated by reference therein.*
- ☒ Preliminary Amendment (17 pgs.)
- ☒ PCT Request (4 pgs.).
- ☒ PCT Demand (3 pgs.).
- ☒ PCT Fee Calculation Sheet (1 pg.).
- ☒ PCT Notification of Transmittal of International Preliminary Examination Report (1 pg.).
- ☒ PCT International Preliminary Examination Report (2 pgs.).
- ☒ PCT Declaration of Non-Establishment of International Search Report (2 pgs.).
- ☒ Affidavit of John D. Collins (2 pgs.).
- ☒ Exhibit 1 (2 pgs.).
- ☒ Exhibit 2 (2 pgs.).
- ☒ Memorandum Regarding Inventorship (1 pg.).
- ☒ Petition to Revive (1 pg.).
- ☒ Check enclosed for \$1,500.00 for payment of the Petition to Revive Fee..
- ☒ Check enclosed for \$3,250.00 for payment of the filing fee.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

Customer Number: 21186

By:   
Atty: Timothy B. Clise  
Reg. No. 40,957

"Express Mail" mailing label number: EV 553 984 092 US

Date of Deposit: April 5, 2005

This paper or fee is being deposited on the date indicated above with the United States Postal Service pursuant to 37 CFR 1.10, and is addressed to The Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.